



Sheet 1 of 2

|   |   |                             |
|---|---|-----------------------------|
| PTO-1449 (Modified)<br><br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br>INFORMATION DISCLOSURE STATEMENT<br>BY APPLICANT | ATTY. DOCKET NO.<br>05313.00003           | SERIAL NUMBER<br>09/783,146 |
|   | APPLICANT<br>Marc D. Van Heyningen et al. |                             |
|   | FILING DATE<br>February 13, 2001          | GROUP ART UNIT<br>2131      |

RECEIVED  
 SEP 25 2001  
 Technology Center-2100

U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE     | NAME             | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|--------------------|----------|------------------|-------|--------------|----------------|
| Wt                  | 5,822,531          | 10/13/98 | Gorczyca et al.  |       |              |                |
| Wt                  | 6,006,259          | 12/21/99 | Adelman et al.   |       |              |                |
| Wt                  | 6,038,677          | 3/14/00  | Lawlor et al.    |       |              |                |
| Wt                  | 6,078,957          | 6/20/00  | Adelman et al.   |       |              |                |
| Wt                  | 6,094,485          | 7/25/00  | Weinstein et al. |       |              |                |
| Wt                  | 6,192,417          | 2/20/01  | Block et al.     |       |              |                |

FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION<br>YES/NO |
|---------------------|--------------------|------|---------|-------|--------------|-----------------------|
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


|    |  |
|----|--|
| Wt | Internet Engineering Task Force (IETF) Request For Comment (RFC) 1928, "SOCKS Protocol V5," M. Leech et al., March 1996  |
| Wt | Internet Engineering Task Force (IETF) Request For Comment (RFC) 1929, "Username/Password Authentication For SOCKS V5," M. Leech, March 1996   |
| Wt | Internet Engineering Task Force (IETF) Request For Comment (RFC) 1301, "Multicast Transport Protocol," by S. Armstrong et al., February, 1992  |
| Wt | "Hashing Concepts And The Java Programming Language," by Robert Uzgalis, 1996  |
| Wt | "HashB.sml - Hashing Functions For Lab 2-B," by John Hamer, June, 2000   |
| Wt | "MTP: Multicast Transport Protocol," an article posted on the Network And Telecommunications Research Group website address "http://ntrg.cs.tcd.ie/4ba2/multicast/magnus/index.html" on January 24, 2001 |
| Wt | "Nokia VPN Gateways: Patented IP Clustering Technology Provides True Active Session Failover And Dynamic Load Balancing"   |
| Wt | "TIB/Rendezvous C Reference," Tibco Software Inc., December, 1999  |
| Wt | "TIB/Rendezvous Java Reference," Tibco Software Inc., December, 1999   |
| Wt | "TIB/Rendezvous Administration," Tibco Software Inc., December, 1999   |



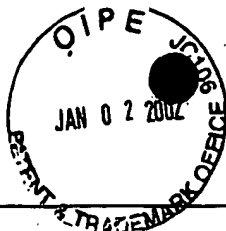
#5

Sheet 2 of 2

|   |  |
|---|--|
| W | "TIB/Rendezvous Installation," Tibco Software Inc., December, 1999   |
| W | "TIB/Rendezvous Concepts," Tibco Software Inc., December, 1999   |
| W | Wireless Application Protocol, Wireless Transport Layer Security Specification, WAP WTLS WAP-199-WTLS, Version 18, February 2000, 99 pages.  |
| W | D. Simon: Microsoft Corporation, Microsoft Corporation's PCT Protocol, Document version 2.00, April 1996, 38 pages.  |
| W | E. Rescorla: "SSL and TLS, Designing and Building Secure Systems" Addison Wesley Publishing, pages 43-55, 57-67, and 88-91.  |
| W | S. Thomas: "SSL and TLS Essentials, Securing the Web" Wiley Publishing, Table of Contents pages ix-xiii, pages 10-11, page 13, and pages 118-129 (additional information from this book will be provided upon the Examiner's request). |
| W | Information printed from website (www.openssl.org/docs/apps/openssl.html) on 07/02/2001, 7 pages.  |
| W | Information printed from website (www.openssl.org/docs/ssl/ssl.html) on 07/02/2001, 15 pages.  |
| W | Information printed from website (www.openssl.org/docs/crypto/crypto.html) on 07/02/2001, 2 pages.   |
| W | Information printed from website (www.openssl.org/docs/HOWTO/) on 07/02/2001, 1 page.  |
| W | B. Tung: "KERBEROS A Network Authentication System" Addison Wesley Networking Basics Series, entire book pages vii-164.  |
| W | Information printed from website (www.broadcom.com/doc/promo5820.html) on 8/15/01, 6 pages.  |

|  |   |                 |          |
|--|---|-----------------|----------|
| EXAMINER   |  | DATE CONSIDERED | 11/27/04 |
| EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant. |   |                 |          |

Ids w/1449 form filed: September 20, 2001



#6

Sheet 1 of 1

|   |                           |                |
|---|---------------------------|----------------|
| PTO-1449 (Modified)<br><br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br>INFORMATION DISCLOSURE STATEMENT<br>BY APPLICANT | ATTY. DOCKET NO.          | SERIAL NUMBER  |
|   | 005313.00003              | 09/783,146     |
|   | APPLICANT                 |                |
|   | Marc Van Heyningen et al. |                |
|   | FILING DATE               | GROUP ART UNIT |
|   | February 13, 2001         | 2131           |

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE      | NAME             | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|--------------------|-----------|------------------|-------|--------------|----------------|
| UA                  | 6,094,485          | 7/25/2000 | Weinstein et al. |       |              |                |
|                     |                    |           |                  |       |              |                |
|                     |                    |           |                  |       |              |                |
|                     |                    |           |                  |       |              |                |
|                     |                    |           |                  |       |              |                |
|                     |                    |           |                  |       |              |                |
|                     |                    |           |                  |       |              |                |

RECEIVED  
JAN 07 2002  
Group 2100

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION<br>YES/NO |
|---------------------|--------------------|------|---------|-------|--------------|-----------------------|
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

|  |           |                 |          |
|--|-----------|-----------------|----------|
| EXAMINER   | <i>UA</i> | DATE CONSIDERED | 11/27/04 |
| EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant. |           |                 |          |



#7

Sheet 1 of 1

|   |                             |                |
|---|-----------------------------|----------------|
| PTO-1449 (Modified)<br><br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br>INFORMATION DISCLOSURE STATEMENT<br>BY APPLICANT | ATTY. DOCKET NO.            | SERIAL NUMBER  |
|   | 005313.00003                | 09/783,146     |
|   | APPLICANT                   |                |
|   | Marc D. VanHeyningen et al. |                |
|   | FILING DATE                 | GROUP ART UNIT |
|   | February 13, 2001           | 2151           |

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE      | NAME            | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|--------------------|-----------|-----------------|-------|--------------|----------------|
| KE                  | 6,029,245          | 2/22/2000 | Scanlan         |       |              |                |
| KE                  | 6,185,567          | 2/6/2001  | Ratnaraj et al. |       |              |                |
|                     |                    |           |                 |       |              |                |
|                     |                    |           |                 |       |              |                |
|                     |                    |           |                 |       |              |                |
|                     |                    |           |                 |       |              |                |
|                     |                    |           |                 |       |              |                |

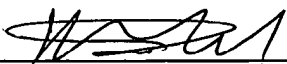
RECEIVED  
JUN 05 2002  
Technology Center 2100

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION<br>YES/NO |
|---------------------|--------------------|------|---------|-------|--------------|-----------------------|
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

|  |                         |
|--|-------------------------|
| EXAMINER    | DATE CONSIDERED 4/27/04 |
| EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant. |                         |

Ids w/1449 form filed: May 31, 2002

PTO-1449 (Modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

ATTY. DOCKET NO.

005313.00003

SERIAL NO.

09/783,146

APPLICANT

Marc van Heyningen et al.

FILING DATE

February 13, 2001

GROUP ART UNIT

2151



## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE       | NAME             | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|--------------------|------------|------------------|-------|--------------|----------------|
| <i>W</i>            | 6,061,796          | 5/9/2000   | Chen et al.      |       |              |                |
| <i>W</i>            | 6,195,366 B1       | 2/27/2001  | Kayashima et al. |       |              |                |
| <i>W</i>            | 6,288,739 B1       | 9/11/2001  | Hales et al.     |       |              |                |
| <i>W</i>            | 6,321,268 B1       | 11/20/2001 | Dillon et al.    |       |              |                |
| <i>W</i>            | 6,385,596 B1       | 5/7/2002   | Wiser et al.     |       |              |                |

RECEIVED

AUG 09 2002

Technology Center 2100

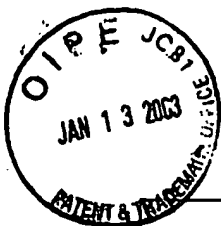
## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION<br>YES/NO |
|---------------------|--------------------|------|---------|-------|--------------|-----------------------|
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|                   |                                 |
|-------------------|---------------------------------|
|                   |                                 |
|                   |                                 |
|                   |                                 |
|                   |                                 |
|                   |                                 |
|                   |                                 |
|                   |                                 |
|                   |                                 |
|                   |                                 |
| EXAMINER <i>W</i> | DATE CONSIDERED <i>11/27/04</i> |

EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.



Sheet 1 of 1

|   |  |                             |
|---|--|-----------------------------|
| PTO-1449 (Modified)<br><br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br>INFORMATION DISCLOSURE STATEMENT<br>BY APPLICANT | ATTY. DOCKET NO.<br>005313.00003       | SERIAL NUMBER<br>09/783,146 |
|   | APPLICANT<br>Marc Van Heyningen et al. |                             |
|   | FILING DATE<br>February 13, 2001       | GROUP ART UNIT<br>2132      |

RECEIVED

JAN 16 2003

Technology Center 2100

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE       | NAME               | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|--------------------|------------|--------------------|-------|--------------|----------------|
| <i>WZ</i>           | 5,325,433          | 06/28/1994 | Torii et al.       |       |              |                |
| <i>WZ</i>           | 5,657,390          | 08/12/1997 | Elgamal et al.     |       |              |                |
| <i>WZ</i>           | 5,754,651          | 05/19/1998 | Blatter et al.     |       |              |                |
| <i>WZ</i>           | 6,070,245          | 05/30/2000 | Murphy, Jr. et al. |       |              |                |
| <i>WZ</i>           | 6,141,423          | 10/31/2000 | Fischer            |       |              |                |
|                     |                    |            |                    |       |              |                |
|                     |                    |            |                    |       |              |                |

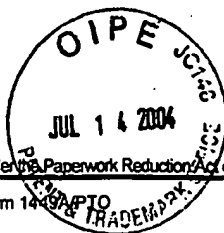
## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION<br>YES/NO |
|---------------------|--------------------|------|---------|-------|--------------|-----------------------|
|                     |                    |      |         |       |              |                       |
|                     |                    |      |         |       |              |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

|  |                                    |
|--|------------------------------------|
| EXAMINER<br><i>[Signature]</i>   | DATE CONSIDERED<br><i>11/27/04</i> |
| EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant. |                                    |



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

**Complete If Known**

|                        |                             |
|------------------------|-----------------------------|
| Application Number     | 09/783,146                  |
| Filing Date            | February 13, 2001           |
| First Named Inventor   | Marc D. VanHeyningen et al. |
| Art Unit               | 2132                        |
| Examiner Name          | Gilberto Barron, Jr.        |
| Attorney Docket Number | 005313.00003                |

**U.S. PATENT DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Document Number                            | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear |
|------------------------|--------------------------|--|--------------------------------|--|---|
|                        |                          | Number - Kind Code <sup>2</sup> (if known) |                                |  |   |
| ✓                      |                          | US- 6,148,405 A                            | 11-14-2000                     | Liao et al.  |   |
| ✓                      |                          | US- 2002/0094085 A1                        | 07-18-2002                     | Roberts  |   |
|                        |                          | US-  |                                |  |   |
|                        |                          | US-  |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited<br>Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>3</sup> |
|------------------------|--------------------------|---|-----------------------------------|---|--|----------------|
|                        |                          | Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known) |                                   |   |  |                |
|                        |                          |   |                                   |   |  |                |
|                        |                          |   |                                   |   |  |                |
|                        |                          |   |                                   |   |  |                |

**NON PATENT LITERATURE DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of<br>the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue<br>number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|------------------------|--------------------------|---|----------------|
|                        |                          |   |                |
|                        |                          |   |                |
|                        |                          |   |                |
|                        |                          |   |                |
|                        |                          |   |                |
|                        |                          |   |                |

RECEIVED

JUL 20 2004

Technology Center 2100

Examiner  
SignatureDate  
Considered

11/27/04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.